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EXPRESS MAIL LABEL NO.: EV 170775513 US  
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Atty. Dckt. No.: 2557-001

John NOTO et al.

Serial No.: 09/775,970

Group Art Unit: 2633

Filed: Feb. 2, 2001

Examiner:

For: OPTICAL MULTIPLEXER AND CROSS-SWITCH USING ETCHEDE LIQUID CRYSTAL FABRY-PEROT ETALONS

Commissioner for Patents  
Washington, D.C. 20231

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Dear Sir:

JAN 03 2003

Enclosed please find the following:

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1. Information Disclosure Statement;
2. Form PTO-1449 (2 sheets); and
3. Exhibits (3 enclosures).

The Commissioner is hereby authorized to charge any fee deficiency, or credit any overpayment, to Deposit Account No. 18-1579. The Commissioner is also authorized to charge Deposit Account No. 18-1579 for any future fees connected in any way to this application.

Respectfully submitted,

Kevin L. Pontius  
Registration No. 37,512  
Roberts Abokhair & Mardula, LLC  
11800 Sunrise Valley Drive, Suite 1000  
Reston, Virginia 20191  
(703) 391-2900

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**INFORMATION DISCLOSURE STATEMENT  
PURSUANT TO 37 CFR 1.97**

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Commissioner for Patents  
Washington, D.C. 20231

JAN 03 2003

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Dear Sir:

In accordance with 37 CFR § 1.56, Applicant hereby submits the following Information Disclosure Statement. The form PTO-1449 submitted, lists references which Applicant thinks may be relevant. These documents are not necessarily analogous art. It is respectfully requested that these documents be considered by the Examiner, and that the Examiner indicate consideration of the cited references by returning copies of the attached form PTO-1449 with initials or other appropriate marks affixed. Copies of all references are enclosed.

Respectfully submitted,

Kevin L. Pontius  
Registration No. 37,512  
Roberts Abokhair & Mardula, LLC  
11800 Sunrise Valley Drive, Suite 1000  
Reston, Virginia 20191  
(703) 391-2900

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PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031  
6. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>				Application Number	09/775,970
				Filing Date	02/02/2001
				First Named Inventor	John Noto et al.
				Art Unit	2633
				Examiner Name	
Sheet	1	of	2	Attorney Docket Number	2557-001

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Country Code <sup>3</sup> -Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
	1	EP 0 498 375	Aug. 1992	Nippon Telegraph and Telephone Corp.		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**Substitute for form 1449B/PTO**

## **INFORMATION DISCLOSURE STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet 2 of 2

Substitute for form 1449B/PTO				Complete if Known	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>				Application Number	09/775,970
				Filing Date	02/02/2001
				First Named Inventor	John Noto et al.
				Group Art Unit	2633
				Examiner Name	
(use as many sheets as necessary)				Attorney Docket Number	2557-001
Sheet	2	of	2		

## OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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Examiner Signature \_\_\_\_\_ Date Considered \_\_\_\_\_

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